

Securities and Exchange Commission

§ 249.104

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 1-A, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 249.25 Form 25, for notification of removal from listing and registration of matured, redeemed or retired securities.

This form shall be used by a registered national securities exchange for notification of the removal from listing and registration of matured, redeemed, or retired securities.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 25, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 249.26 Form 26, for notification of the admission to trading of a substituted or additional class of security under Rule 12a-5 (§ 240.12a-5 of this chapter).

This form shall be used by a registered national securities exchange for notification of the admission to trading of a substituted or additional class of security under Rule 12a-5.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 26, see the List of CFR Sections Affected in the Finding Aids section of this volume.

Subpart B—Forms for Reports To Be Filed by Officers, Directors, and Security Holders

§ 249.103 Form 3, initial statement of beneficial ownership of securities.

This Form shall be filed pursuant to Rule 16a-3 (§240.16a-3 of this chapter) for initial statements of beneficial ownership of securities. The Commission is authorized to solicit the information required by this Form pursuant to sections 16(a) and 23(a) of the Securities Exchange Act of 1934 (17 CFR part 240); sections 17(a) and 20(a) of the Public Utility Holding Company Act of 1935 (17 CFR part 250); and sections 30(f) and 38 of the Investment Company Act of 1940 (17 CFR part 270), and the rules and regulations thereunder. Disclosure of information specified on this Form is mandatory, except for disclosure of the I.R.S. identification number by entities, which is voluntary. If such numbers are furnished, they will assist the Commission in distinguishing report-

ing persons with similar names and will facilitate the prompt processing of the Form. The information will be used for the primary purpose of disclosing the holdings of directors, officers and beneficial owners of registered companies. Information disclosed will be a matter of public record and available for inspection by members of the public. The Commission can use the information in investigations or litigation involving the federal securities laws or other civil, criminal, or regulatory statutes or provisions, as well as for referral to other governmental authorities and self-regulatory organizations. Failure to disclose required information may result in civil or criminal action against persons involved for violations of the federal securities laws and rules.

[56 FR 7274, Feb. 21, 1991, as amended at 62 FR 35341, July 1, 1997]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 3, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 249.104 Form 4, statement of changes in beneficial ownership of securities.

This Form shall be filed pursuant to Rule 16a-3 (§240.16a-3 of this chapter) for statements of changes in beneficial ownership of securities. The Commission is authorized to solicit the information required by this form pursuant to sections 16(a) and 23(a) of the Securities Exchange Act of 1934 (17 CFR part 240); sections 17(a) and 20(a) of the Public Utility Holding Company Act of 1935 (17 CFR part 250); and sections 30(f) and 38 of the Investment Company Act of 1940 (17 CFR part 270), and the rules and regulations thereunder. Disclosure of information specified on this Form is mandatory, except for disclosure of the I.R.S. identification number by entities, which is voluntary. If such numbers are furnished, they will assist the Commission in distinguishing reporting persons with similar names and will facilitate the prompt processing of the Form. The information will be used for the primary purpose of disclosing the transactions and holdings of directors, officers and beneficial owners of registered companies. Information disclosed will be a matter of public record